

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Schofield, Lorna G.	2. Court or Organization U.S. District Court, Southern District of New York	3. Date of Report 04/25/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) U.S. District Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address Thurgood Marshall United States Courthouse 40 Centre Street New York, NY 10007		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☒ NONE (No reportable positions.)

<u>POSITION</u>	<u>NAME OF ORGANIZATION/ENTITY</u>
1. _____	_____
2. _____	_____
3. _____	_____
4. _____	_____
5. _____	_____

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☐ NONE (No reportable agreements.)

<u>DATE</u>	<u>PARTIES AND TERMS</u>
1. 2011	Debevoise & Plimpton LLP, retirement program in a fixed amount, payable monthly for life, with COLA
2. 1988	Retirement Plan for Lawyers of Debevoise & Plimpton LLP, self-directed account
3. 1991	Debevoise & Plimpton LLP Cash or Deferred Plan for Partner & Staff, self-directed account

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)***A. Filer's Non-Investment Income**☐NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	Debevoise & Plimpton LLP pension	\$325,824.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☒NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. American Bar Association	October 3, 2019	Scottsdale, AZ	Section of Litigation Leadership Meeting	Hotel & Transportation Allowance
2. American Bar Association	June 12, 2019	Park City, UT	Section of Litigation Leadership Meeting	Hotel & Transportation
3.				
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Citibank Accounts	A	Interest	K	T					
2. Fidelity Magellan	E	Dividend	M	T					
3. Vanguard 500 Index Fund Adm	D	Dividend	O	T					
4. Vanguard Capital Opportunity Fund Adm	E	Dividend	O	T					
5. Vanguard Dividend Growth Fund	E	Dividend	O	T					
6. Vanguard Federal Money Market Fund	A	Dividend			Sold	01/11/19	J		
7. Vanguard Global Equity Fund	F	Dividend	P1	T					
8. Vanguard Growth Index Fund Adm	E	Dividend	P1	T					
9. Vanguard Health Care Fund Adm	E	Dividend	N	T					
10. Vanguard High-Yield Tax-Exempt Fund Adm	D	Dividend	M	T					
11. Vanguard Intermediate-Term Tax-Exempt Fund Adm	E	Dividend	O	T					
12. Vanguard International Growth Fund Adm	D	Dividend	O	T					
13. Vanguard Limited Term Tax Exempt Fund Adm	D	Dividend	N	T					
14. Vanguard Mid-Cap Index Fund Adm	D	Dividend	O	T					
15. Vanguard NY Long-Term Tax-Exempt Fund Adm	E	Dividend	N	T					
16. Vanguard NY Muni Money Market Fund	A	Dividend	J	T					
17. Vanguard PRIMECAP Fund Adm	E	Dividend	M	T					

1 Income Gain Codes:	A =\$1,000 or less	B =\$1,001 - \$2,500	C =\$2,501 - \$5,000	D =\$5,001 - \$15,000	E =\$15,001 - \$50,000
(See Columns B1 and D4)	F =\$50,001 - \$100,000	G =\$100,001 - \$1,000,000	H1 =\$1,000,001 - \$5,000,000	H2 =More than \$5,000,000	
2 Value Codes	J =\$15,000 or less	K =\$15,001 - \$50,000	L =\$50,001 - \$100,000	M =\$100,001 - \$250,000	
(See Columns C1 and D3)	N =\$250,001 - \$500,000	O =\$500,001 - \$1,000,000	P1 =\$1,000,001 - \$5,000,000	P2 =\$5,000,001 - \$25,000,000	
	P3 =\$25,000,001 - \$50,000,000		P4 =More than \$50,000,000		
3 Value Method Codes	Q =Appraisal	R =Cost (Real Estate Only)	S =Assessment	T =Cash Market	
(See Column C2)	U =Book Value	V =Other	W =Estimated		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
18. Vanguard Small-Cap Growth Index Fund Adm	B	Dividend	M	T					
19. Vanguard Tax-Exempt Money Market Fund a/k/a Vanguard Muni MM Fund	D	Dividend	O	T	Sold (part)	01/11/19	K		
20.					Sold (part)	01/24/19	K		
21.					Buy (add'l)	01/26/19	J		
22.					Sold (part)	01/28/19	K		
23.					Sold (part)	01/30/19	J		
24.					Sold (part)	02/06/19	K		
25.					Buy (add'l)	02/28/19	J		
26.					Buy (add'l)	03/28/19	J		
27.					Sold (part)	04/11/19	K		
28.					Sold (part)	04/15/19	L		
29.					Buy (add'l)	04/28/19	J		
30.					Buy (add'l)	05/28/19	J		
31.					Buy (add'l)	06/27/19	J		
32.					Sold (part)	06/21/19	L		
33.					Buy (add'l)	06/28/19	J		
34.					Buy (add'l)	07/28/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

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☐ NONE (No reportable income, assets, or transactions.)

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	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
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35.					Buy (add'l)	08/28/19	J		
36.					Sold (part)	09/19/19	K		
37.					Buy (add'l)	09/28/19	J		
38.					Buy (add'l)	10/28/19	J		
39.					Buy (add'l)	11/28/19	J		
40.					Buy (add'l)	12/28/19	J		
41. Vanguard Windsor II Fund Adm	E	Dividend	M	T					
42. D&P Retirement Plan for Lawyers (H)									
43. - Vanguard High-Yield Corporate Fund Adm	E	Dividend	N	T					
44. - Vanguard Institutional Index Fund Inst.	E	Dividend	N	T					
45. - Vanguard Selected Value Fund	E	Dividend	O	T					
46. - Vanguard Total Bond Market Index Fund Inst	C	Dividend	M	T					
47. D&P Cash or Deferred Plan (H)									
48. - Vanguard Institutional Fund Inst.	E	Dividend	O	T					
49. - Vanguard Total Int'l Bond Index Fund Adm	E	Int./Div.	O						
50. - Vanguard Windsor Fund Adm	C	Dividend	M	T					
51. Traditional IRA (H)									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
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52. - Vanguard Global Equity Fund	A	Dividend	J	T					
53. - Vanguard Intermediate Term Inv. Grade Fund Adm	D	Dividend	M	T					
54. - Vanguard Prime Money Market Fund	A	Dividend	J	T					
55. Uniform Gifts for Minors Account (H)					Closed	11/11/19			
56. - Vanguard Growth & Income Fund Inv	A	Dividend			Closed	11/11/19	K		
57. - Vanguard Prime Money Market Fund		None			Closed	11/11/19	J		

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VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

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IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Lorna G. Schofield**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544